

Additions: Underlined

Deletions: [Bracketed]

Fee Schedule of NYSE Chicago, Inc.

Updated Through [November 12]December 2, 2019

FEES, ASSESSMENTS, CREDITS AND REBATES

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[2. Cross Connection Charges – Physical Connections

(a) Carrier equipment connection to customer equipment:

POTS line (2-wire)	\$50 (one-time fee); \$10/month
ISDN line (2-wire)	\$50 (one-time fee); \$10/month
T1 (4-wire)	\$75 (one-time fee); \$20/month
Ethernet network cable	\$125 (one-time fee); \$25/month

(b) Customer equipment connection to Exchange equipment:

1G Connection	\$150 (one-time fee); \$100/month
10G Connection	\$1000 (one-time fee); \$500/month]

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G. Reserved[Co-location Fees

These fees are assessed for equipment owned by Participants and by other service providers (including marketplaces) that is stored on Exchange premises for any use, including sending orders to the Exchange.

Shelf (1U)	\$150 (one-time fee); \$45/month
Shelf (2U)	\$150 (one-time fee); \$80/month
Rack mount (1U)	\$150 (one-time fee); \$45/month

Each additional 1U of cabinet space up to 4U	\$20 (one-time fee); \$35/month
Rack mount (4U)	\$200 (one-time fee); \$140/month
Quarter cabinet (10U)	\$250 (one-time fee); \$180/month
Half cabinet (21U)	\$275 (one-time fee); \$300/month
Full cabinet (42U)	\$300 (one-time fee); \$500/month]

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L. Reserved[Receipt of Orders Through Connect

For Participants that receive orders through the Connect system, the Exchange will charge a \$5,000/month base fee, pro-rated based on start date.]

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O. [Aggregation of Activity of Affiliated Participants]Aggregate Billing of Affiliated Participants

(a) For purposes of applying any provision of the Fee Schedule where the charge assessed, or credit provided, by the Exchange depends upon the volume of a Participant's activity, a Participant may request that the Exchange aggregate its eligible activity with the eligible activity of its affiliate(s).

- (1) A Participant requesting aggregation of eligible affiliate activity shall be required to certify to the Exchange the affiliate status of Participants whose activity it seeks to aggregate prior to receiving approval for aggregation, and shall be required to inform the Exchange immediately of any event that causes an entity to cease to be an affiliate. The Exchange shall review available information regarding the entities and reserves the right to request additional information to verify the affiliate status of an entity. The Exchange shall approve a request, unless it determines that the certificate is not accurate.
- (2) If two or more Participants become affiliated on or prior to the sixteenth day of a month, and submit the required request for aggregation on or prior to the twenty-second day of the month, an approval of the request by the Exchange shall be deemed to be effective as of the first day of that month. If two or more Participants become affiliated after the sixteenth day of a month, or submit a request for aggregation after the twenty-second day of the month, an approval of the request by the Exchange shall be deemed to be effective as of the first day of the next calendar month.

(b) For purposes of applying any provision of the Fee Schedule where the charge assessed, or credit provided, by the Exchange depends upon the volume of a Participant's activity, references to an entity (excluding where otherwise not permitted on the Fee Schedule) shall be deemed to include the entity and its affiliate(s) that have been approved for aggregation.

(c) For purposes of this Fee Schedule, the term "affiliate" shall mean any Participant under 75% common ownership or control of that Participant.

[For purposes of applying the provisions of Sections D and E.1. of this Fee Schedule, a Participant may request that the Exchange aggregate its activity with the activity of its affiliates. A Participant requesting aggregation of affiliate activity shall be required to certify to the Exchange the affiliate status of the entities which it seeks to aggregate prior to receiving approval for aggregation, and shall be required to inform the Exchange immediately of any event that causes an entity to cease to be an affiliate. In addition, the Exchange reserves the right to request information to verify the affiliate status of an entity.

For purposes of applying the provisions of Sections D and E.1. of this Fee Schedule references to an entity (including references to a "Participant" or "Participant firm") shall be deemed to include the entity and its affiliates that have been approved by the Exchange for aggregation.

For purposes of these provisions, the terms set forth below shall have the following definitions:

An "affiliate" of a Participant shall mean any wholly owned subsidiary, parent or sister of the Participant that is also a Participant.

A "wholly owned subsidiary" shall mean a subsidiary of a Participant, 100% of whose voting stock or comparable ownership interest is owned by the Participant, either directly or indirectly through other wholly owned subsidiaries.

A "parent" shall mean an entity that directly or indirectly owns 100% of the voting stock or comparable ownership interest of a Participant.

A "sister" shall mean an entity, 100% of whose voting stock or comparable ownership interest is owned by a parent that also owns 100% of the voting stock or comparable ownership interest of a Participant.]

P. [Reserved]Billing Disputes

All fee disputes concerning fees billed by the Exchange must be submitted to the Exchange in writing and must be accompanied by supporting documentation. All fee disputes must be submitted no later than sixty (60) days after receipt of a billing invoice.

Q. Minor Rule Violation Plan